

Australian Capital Territory

Territory Records (Records Disposal Schedule – Strategy & Governance Records) Approval 2017 (No 1)

Notifiable instrument NI2017—89

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1 Name of instrument

This instrument is the Territory Records (Records Disposal Schedule – Strategy & Governance Records) Approval 2017 (No 1).

2 Commencement

This instrument commences on 27 February 2017.

3 Approval

I approve the Records Disposal Schedule – Strategy & Governance Records.

4 Revocation

This instrument revokes:

Territory Records (Records Disposal Schedule - Territory Administrative Records Disposal Schedules - Strategic Management Records) Approval 2009 (No 1) NI2009-453.

Danielle Wickman
Director of Territory Records
16 February 2017



Records Disposal Schedule

Strategy & Governance Records

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INTRODUCTION

The *Records Disposal Schedule - Strategy & Governance Records* is the official authority for the disposal of these ACT Government Records.

It is one of a series of Whole of Government Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with other Territory Records Disposal Schedules.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE WHOLE OF GOVERNMENT THESAURUS

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must take all reasonable steps to ensure that no legal action is contemplated in relation to its records and must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.**

The *Records Disposal Schedule - Strategy & Governance Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Whole of Government Thesaurus. The Records Disposal Schedule is designed to be applicable to all records relating to the function described in this schedule regardless of titling conventions used, so that records, which have not been classified and titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Whole of Government Thesaurus

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the former Territory Version of Keyword AAA (TVKAAA) (2010). In the Whole of Government Thesaurus all functions are considered to be functions performed by the ACT Government and have been included following consultation with stakeholder agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the Director of Territory Records for use by all ACT Government agencies as part of classifying and titling of their paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records (Records, Information and Data) Standard 2016*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Whole of Government Thesaurus. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The *Records Disposal Schedule - Strategy & Governance Records*:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Whole of Government Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

Function.

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

Activity.

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records.

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action.

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

DESTRUCTION OF RECORDS

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.

RELATED LEGISLATION

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Criminal Code 2002

Evidence Act 2011

Financial Management Act 1996

Freedom of Information Act 1989

Government Procurement Act 2001

Information Privacy Act 2014

Limitations Act 1985

Privacy Act 1988 (Cwlth)

Public Interest Disclosure Act 2012

Public Sector Management Act 1994

Territory Records Act 2002

Workplace Privacy Act 2011

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be created and captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

STRATEGY & GOVERNANCE

The function of establishing the strategic direction and governance framework for ACT Government and its organisations, and overseeing the management of their operations through systematic planning, controlling and managing the overall structures, framework and direction of the organisations to meet government goals, objectives and priorities and ensure overall performance and conformance in the delivery of goods, services or programs. Includes the preparation of corporate and business plans and strategies, controlling and managing organisation structures, performance monitoring and reporting, risk management, auditing and objectives to ensure continuous improvement, performance and quality assurance.

Acquisition

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

Audit

The activities associated with officially checking the activities, processes, services and operations of organisations, companies or other entities to ensure conformance with agreed or legislated standards, policies, procedures, or other requirements. Includes internal or external financial, recordkeeping, skills, systems, operational, quality assurance or compliance audits.

Authorisation & Delegation

The activities associated with delegating power to authorise an action and the seeking or granting permission to undertake a requested action.

Note: For routine approvals supporting a more specific process, (e.g. Budgeting for budget approvals; or Procurement for approvals to purchase goods or services), use the relevant activity.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Contract Management

The activities associated with managing the performance of work or the provision of services by external consultants and contractors following their initial engagement. Includes instructions to contracted personnel, progress reports, monitoring of expenditure against budgets, and performance reviews.

Legislation

The activities associated with proposing, developing and reviewing legislation, including Acts, Regulations, Bills, subsections of Acts etc.

Organisational Structure

The activities associated with establishing, reviewing and modifying the overall structure of the organisation to meet organisation goals and objectives. Includes the preparation of organisational charts and the management of restructures as a result of Machinery of Government (MoG) changes.

Performance Management

The activities associated with the management of employees, services, programs, and organisations to ensure that goals and objectives are achieved efficiently effectively and accountably. Includes identifying, evaluating and developing tools and processes for measuring performance and providing recognition and feedback to employees, workgroups or organisations. Also includes catering for employees work needs and offering career guidance.

Planning

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

Note: Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use Maintenance for maintenance plans, or Risk Management & Insurance for risk management plans and strategies).

Policies & Procedures

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

Position Management

The activities associated with evaluating, establishing, managing, reviewing, modifying and inactivating positions within the organisation, including managing vacancies, position variations, job evaluations, and the classification and grading of positions.

Reporting & Statements

The activities associated with drafting, preparing and providing reports including in the form of informal or formal statements, statistics, returns, submissions or similar reports.

*Note: Where reports support a more specific activity, use the relevant classification, (e.g. use *Borrowing & Investment*, for reports on organisation investments, or use *Budgeting for reporting on budget expenditure*.*

Risk Management & Insurance

The activities associated with managing organisation risks. Includes business continuity, disaster, fraud control and other risk management plans, risk assessments, analysis, treatment and control measures, risk registers, and the taking out of insurance to cover risks, including handling subsequent claims made against insurance policies.

Standards

The activities associated with developing and/or implementing industry or organisation specific benchmarks for services and processes to enhance the quality and efficiency of an organisation, business or industry.

RECORDS DISPOSAL SCHEDULE

Acquisition (Continued)

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
196.003.002 Cont.	<ul style="list-style-type: none"> • minutes of meetings with main stakeholders, includes meetings with external agencies; • performance and evaluation reports; • evaluation of potential programs and services that are considered minor or have not major impacts on government priorities, policies or economic reforms; • review of related programs and operations, including documents establishing the review, final reports, action plans; • tender and contract registers; • unsuccessful tenders or where there is no suitable bidder or tender process discontinued; • working papers. 	Destroy 12 years after last action

Organisational Structure (Continued)

The activities associated with establishing, reviewing and modifying the overall structure of the organisation to meet organisation goals and objectives. Includes the preparation of organisational charts and the management of restructures as a result of Machinery of Government (MoG) changes.

[For evaluating, establishing, managing and reviewing employment positions within the organisation, including managing vacancies, position variations, job evaluations, and the classification and grading of positions, use HUMAN RESOURCES – Position Management.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
196.320.002 Cont.	<ul style="list-style-type: none"> • final versions of agency-wide establishment plans; • final versions of a section or business unit's establishment plans, including state, regional or overseas office; • working papers used in developing all establishment plans; • final versions of formal internal reports and reports made to external agencies relating to the establishment function; • final versions of periodic reports on general administrative matters used to monitor and document recurring activities; • working papers documenting the development of all reports. Includes drafts and comments received; • records documenting a review and reassessment of agency organisational structures against identified corporate requirements; • agency adoption of new work level standards; • records documenting a review of agency programs and operations and the reassessment of agency organisational structures against identified corporate requirements. 	Destroy 10 years after last action

Planning (Continued)

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.

For whole -of-government occupational health and safety planning, use WORKPLACE AND SAFETY POLICY - Planning.]

Note: *Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use Maintenance for maintenance plans, or Risk Management & Insurance for risk management plans and strategies.*

Entry No.	Description of Records	Disposal Action
196.079.002 Cont.	<ul style="list-style-type: none">• notices of minutes;• draft minutes;• final versions of minutes;• reports;• recommendations;• supporting documents such as briefing papers and discussion papers final versions;• work health & safety plans and asbestos management plans;• draft plans;• reports analysing issues;• comments received from other areas of an agency;• input into plans;• drafts;• plans formulated to support the management of specific strategic management activities (e.g. fraud control plan and human resource management plan);• business plans and unit level work plans;• working papers	Destroy 10 years after last action

RETAIN AS TERRITORY ARCHIVES

